



# Community Investment Policies and Procedures

## Manual for United Way of Suwannee Valley Partner Agencies

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## **United Way of Suwannee Valley Mission**

United Way of Suwannee Valley unites individuals and resources to build a stronger, healthier, and more compassionate community.

### **Introduction**

United Way of Suwannee Valley is committed to working with local partner agencies to safeguard its stewardship responsibilities to investors and the community at large. This commitment requires that there be a delicate balance between the partner agencies' autonomy and United Way of Suwannee Valley's mission. United Way of Suwannee Valley and its partner agencies share a vital community responsibility for addressing human needs through a private and voluntary system of care. This translates into investments in strategies that explicitly focus on eradicating racial/ethnic inequities based on institutional practices and policies that create and reinforce disparities in education, health, employment, criminal justice, housing and transportation.

In the important process of linking people in need with local, financial and volunteer resources, there must be certain mutual responsibilities to ensure maximum effectiveness. The purpose of this manual is to define those specific mutual responsibilities that exist between United Way and its partner agencies. The policies and procedures contained in this manual may change from time to time, with consultation with partners or at the discretion of United Way, in response to our changing environment. All partner agencies are bound by the policies and procedures as they change, provided 30 days' notice of such change is given and a reasonable amount of time allocated for compliance.

## **I. PARTNER AGENCY RELATIONSHIPS**

All partner agencies must adhere to the stipulations in the Policies and Procedures Manual unless written permission is granted for an exception.

### **A. Definition of Partner Agency**

A partner agency is any organization that has an ongoing relationship with United Way that is defined and governed by this agreement. Partner agencies are eligible to apply for but are not guaranteed program funding through the funding process. No other definition for partner agency may be used to define this relationship.

### **B. Funding Process**

The funding process, which is only open to partner agencies, may include but is not limited to, a written application and formal presentation. Board members of partner agencies who are requesting funding may also not be members of the Community Investment Committee. Volunteers serving on the Community Investment Committee will review all information submitted and make a recommendation for funding to the

United Way Board of Directors. The United Way Board of Directors will make all final decisions.

## II. PARTNER AGENCY REQUIREMENTS

To fulfill our stewardship responsibilities to investors and the community at large, both United Way and all partner agencies are required to comply with the requirements set forth below in order to continue a partnership with United Way. These criteria outline mutual expectations between United Way and partner agencies.

### CRITERIA FOR GOOD STANDING

A partner agency considered in good standing must meet all of the following criteria. The agency:

- A. is incorporated or chartered under appropriate local, state or federal statutes.
- B. maintains its recognition by the Internal Revenue Service as an organization exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code as amended and as a publicly supported organization of the type described in Section 170 (b)(1)(A)(vi) and abides by all applicable policies outlined therein.
- C. has an independent board of voting members serving without compensation that has ultimate authority for the organization's service, administration, financing, and stewardship of funds. The board will have provisions for adequate financial and administrative policies and procedures to assure an effective, economical and efficient operation. The partner agency will keep its board of directors informed of all United Way policies and issues.
- D. has an annual financial audit or review (if the organization's revenue is less than \$500,000) performed by an independent certified public accountant in accordance with Generally Accepted Accounting Principles (GAAP) and the Generally Accepted Government Auditing Standards (GAGAS), if applicable, resulting in the issuance of financial statements in accordance with Generally Accepted Accounting Principles and is issued an unqualified opinion for the agency's financial statements. The organization must also file a form 990 or 990EZ annually, as required.
- E. does not have significant ongoing financial deficits and/or has evidence of financial support or a board or voting members' approved plan to ensure the partner agency continues in operation and meets its obligations and commitments.
- F. maintains an Equal Employment Opportunity Policy in writing as required by governmental funding sources.

- G. maintains a Non-discrimination Policy in writing that outlines how the organization does not discriminate in hiring, service delivery, or volunteer services on the basis of race, religion, gender, sexual orientation, national origin, age, or disability.
- H. is free of any reasonable suspicion of the misuse of funds, engagement in unethical or illegal practices, or violation of applicable laws.
- I. is free of any significant non-compliance issues for other funding sources.
- J. has a clearly-stated organizational purpose consistent with the mission of United Way of Suwannee Valley and is working within one of our three impact areas of Education, Financial Stability and Health.
- K. provides its services to residents within United Way's four-county area of Columbia, Hamilton, Lafayette, and Suwannee counties.
- L. agrees to immediately notify United Way regarding any legal, financial, or organizational matters or changes, including controversial events or issues, which may affect the partner agency's ability to operate and/or deliver services.
- M. conducts an annual United Way workplace campaign, which includes presentations made by a United Way staff, board or speaker's bureau member, to be completed by November 15 of each calendar year with results submitted by December.
- N. attends any required Speakers' Bureau training for partner agencies and is available for speaking engagements to support the United Way fundraising campaign efforts.
- O. ensures attendance by the Professional Officer/Executive Director at all mandatory meetings called by United Way.
- P. proudly features the United Way logo on print material, electronic, and other collateral tools including but not limited to client forms as well as the organization's website, brochures, annual report and others for programs funded by United Way.
- Q. displays the United Way logo and signage (to be provided by United Way) in the lobby of the corporate office and all subsidiary locations including their website.
- R. Quarterly Reports are due 30 days after each quarter. For each day that the quarterly report is late, the same number of days will delay the funding check being prepared.

### III. CAMPAIGN STANDARDS

All partner agencies will actively participate in the annual United Way fundraising campaign immediately upon becoming partner. A partner agency will permit its name to be used by United Way in connection with its campaign. It is also expected the United Way will be informed of

any contributions received by the partner agency, which, in the judgment of the partner agency, are generated by the United Way campaign.

#### IV. UNITED WAY COMMITMENTS

United Way commits to its partner agencies that it will to the best of its ability:

- A. Organize, direct, and conduct an aggressive and cost-effective annual United Way fundraising campaign which reaches all segments of the community and maximizes unrestricted giving and commitment to the voluntary system to support local health and human services, programs, collaborations, or other special initiatives designed to address community needs.
- B. Establish an annual fundraising goal with due regard for the community's needs, community fundraising climate, and local economy.
- C. Award fundraising campaign proceeds through systems that honor donor-restricted contributions, encourage opportunities for collaboration and cooperation among service providers, and use a representative group of responsible citizen volunteers to assess the community's needs and the partner agencies' capacity to effectively deliver services.
- D. Promote United Way funded and non-funded partner agencies through their development and communication activities.
- E. Provide a variety of supportive services aimed at increasing the capacity of the human service system to respond to community needs which may include, but not limited to, United Way of Northeast Florida 2-1-1 information and referral services, advocacy, community initiatives, collaboration building, and human service planning and research.
- F. Promote volunteerism and the importance of the system of voluntary nonprofit services in the enhancement of the quality of life in our community.

#### V. REVENUE GENERATING ACTIVITIES

United Way seeks to maximize the total dollars available to address the needs of our community. United Way encourages funded and non-funded partner agencies to develop revenue-generating activities that do not compete with or jeopardize the local United Way campaign. Therefore, United Way encourages collaboration between the funded and non-funded partner agencies and United Way to generate funds that will help meet the health and human service needs of our community.

The following policies are designed to maintain the strongest possible annual United Way fundraising campaign and allow the funded and non-funded partner agencies the flexibility to conduct its own essential fundraising activities.

- A. The funded and non-funded partner agencies may develop and implement a diverse revenue stream that may include, but not limited to, the following types of activities.
  - 1. Fees for service
  - 2. Governmental grants
  - 3. Independent foundation gifts
  - 4. Bequests, legacies and other deferred gifts
  - 5. Out-of-area contributions
  - 6. Year-round sales of partner agency's products
  - 7. Donated gifts-in-kind
  - 8. Internet fundraising
  - 9. Unsolicited gifts
- B. Funded and non-funded partner agencies are expected to support the United Way as described in Section III. Funded and non-funded partner agencies may not:
  - 1. Conduct direct employee workplace-based campaigns (outside of raising funds within their organization to benefit only their organization) at any time during the year.
  - 2. Participate in federated campaigns.
  - 3. Solicit donor-designated donations through United Way.
  - 4. Malign the United Way staff, board, or organization for any reason, including decisions regarding funding, appeals, or compliance.
- C. If funded or non-funded partner agencies fail to comply with the policies listed above, the appropriate volunteer committee member will evaluate the partner agency's non-compliance, taking into consideration relevant factors. The committee may issue a written reprimand or may recommend a sanction that may include, but not limited to:
  - 1. Suspension of funding payment(s)
  - 2. Termination of agreement

It shall be a condition of continued partnership that the partner agency demonstrate in writing to the United Way Board President and Executive Director the specific measures that will be taken to prevent further violations in the future.

## VI. DONOR DESIGNATION PROGRAM

United Way of Suwannee Valley's Donor Designation Program was created by the United Way Board of Directors to provide individuals with the option of directing part or all of their contributions to other United Ways or specific eligible agencies.

## VII. PARTNERSHIP PROCEDURE

After acceptance, partner agencies are required to remain in good standing and continue to adhere to the partner agency requirements. Non-funded partner agencies **must reapply for partnership every three years (ex. 2024, 2027, 2030, etc.)**. Funded agencies do so yearly. A volunteer committee to ensure awareness of agency program services and budget resources as well as appropriateness of continued partnership will

review partner agency applications and site visits. The United Way Board of Directors approves all final decisions.

- A. A nonprofit organization wishing to apply for partnership may initiate the process through a request to United Way. Upon receipt of such request, United Way will provide the organization with basic information. The organization must then file its completed application by December 1 of the year prior to that in which it wishes to participate. (See the Schedule in this manual.)
- B. United Way staff will conduct an initial screening of the application. An agency submitting an application that does not include all requested documentation will be informed in writing of same, and the application will not be processed. If not completed and/or corrected and returned by January 15, the application becomes invalid.
- C. The Community Investment Committee will meet to review the application and to conduct a site visit.
- D. The recommendation of the committee relative to agency partnership will be elevated to at a minimum the Executive Committee of United Way who can take final action on the recommendation. The decision will be communicated in writing to the applicant agency. If partnership is denied, an agency may reapply during the next scheduled cycle provided the deficiencies, which resulted in the denial of partnership, have been corrected.

## VIII. SANCTIONS FOR NON-COMPLIANCE OF FUNDED OR NON-FUNDED PARTNER AGENCIES

- A. Partner agencies which are not complying with the provisions set forth in this agreement may be subject to progressive action to alleviate the compliance issue, beginning with a written communication to the partner agency's Chief Professional Officer, noting the violation, expected corrective action, and period for such.
- B. If the period to correct the violation expires without a resolution, the United Way Executive Director will send written notice of the violation to the partner agency's Chief Professional Officer and Chief Volunteer Officer/Board President, as well as to the Chief Volunteer Officer/Board President of the United Way. Within five (5) days of receiving this notice, the partner agency's Chief Professional Officer must rectify the situation and/or submit in writing the intended corrective action plan, including timeframe, to United Way.
- C. If the violation and/or concerns are not resolved within the period noted above the United Way Executive Director will address the issue through a letter to the partner agency's Chief Volunteer Officer/Board President with a copy of the letter sent to the partner agency's Chief Professional Officer. The partner agency will have 30 days to address and/or rectify the situation. United Way, at its sole discretion, may extend the time for the partner agency and board to address the concerns.

- D. After 30 days of non-response or unacceptable corrective action, the process for terminating the agency's partnership with United Way may be initiated.
- E. If the non-compliance issue is a late quarterly report, and that quarterly report is not received by the time the next funding checks are distributed, said agency will forfeit one of their four funding for the year. The Community Investment Committee will then have the opportunity to use the dollars forfeited for other agencies' needs. The report will still be required in order to receive their next quarterly funding award.

## IX. TERMINATION OF PARTNERSHIP AGREEMENT OF FUNDED OR NON-FUNDED PARTNER AGENCIES

In its stewardship role, United Way assures investors their contributions are distributed for needed services and used in the most effective and efficient manner and that partner agencies are well vetted. United Way is also cognizant of the autonomy of partner agencies and their volunteer resources. These broad responsibilities are translated into policies and agreements. All partner agencies are reviewed periodically for compliance with these policies and the terms of agreement. These reviews may disclose serious issues enough to warrant consideration of probation or termination of the partnership.

United Way reserves the right to suspend its partnership with a partner agency during the term of this agreement in instances in which this agreement is violated and/or until the violation is corrected. Additionally, United Way may terminate this agreement immediately if, in the opinion of the United Way, the partner agency mismanages or makes improper use of funds.

### A. CRITERIA FOR TERMINATION OF FUNDED OR NON-FUNDED PARTNER AGENCIES

Events leading to termination of the agreement between United Way and a partner agency include, but not limited to, the following:

1. Voluntary withdrawal by the partner agency from a United Way contract, as submitted in writing. If a partner agency wishes to withdraw from the partnership, it may do so at any time. However, if the request is made after July 1, it may not be feasible to remove the partner agency from United Way literature until the end of the current fiscal year.
2. Material non-compliance with the terms of United Way's Policies & Procedures Manual or other agreements entered into with United Way.
3. Determination that the programs supported by the partner agency no longer provide service(s) appropriate for United Way support.
4. Lack of service delivery to client population.
5. Failure to provide for the health and safety of partner agency's clients and/or employees.
6. Lack of leadership and direction by partner agency's board of directors.

7. Severe ongoing financial deficits with a lack of evident financial support or a board approved plan to ensure the partner agency continues in operation and meets its obligations and commitments under the agreement.
8. Determination that any director, officer, employee, or agent of the partner agency, acting in an official capacity with respect to the partner agency, has or may have violated any law that applies to the operation or maintenance of the partner agency.
9. Failure to follow requirements or recommendations of United Way or any licensing or governmental bodies.
10. Failure to correct deficiencies identified by United Way.
11. Engaging in activities that fail to support the mission or image of United Way or that create negative publicity or a harmful perception of United Way.
12. Reasonable suspicion of the misuse of funds.
13. Engagement in unethical or illegal practices.
14. Violation of applicable laws.
15. Loss of tax-exempt status under Section 501(c)(3) of the Internal Revenue Code.
16. Engagement in activities that jeopardize the provision of funding or services to our community.
17. Failure to comply with United Way identification requirements.
18. Failure to comply with the requirements as outlined under the United States Patriot Act.
19. Failure to comply with the requirements as outlined under the Sarbanes-Oxley Act.
20. Willful misrepresentation by the partner agency of material fact(s) that had a bearing upon United Way's partnership decision.

**B. PROCESS FOR TERMINATION CRITERIA FOR TERMINATION OF FUNDED OR NON-FUNDED PARTNER AGENCIES**

1. Once concerns are raised about the partner agency's compliance with applicable policies and procedures, terms of the agreement between United Way and the partner agency or the above criteria, the United Way Community Investment Committee will examine the situation. United Way reserves the right to contact, share, and/or compare information with other funders. The Community Investment Committee, through the Executive Director, will notify the partner agency in writing of United Way's concerns and request a meeting with the partner agency's representatives, including appropriate partner agency staff and board members.
2. During this meeting, the Community Investment Committee and the United Way executive director will explain United Way's concerns and hear the partner agency's responses. A remediation or compliance plan and a timetable for remedying identified problems, deficiencies, or concerns will be developed by the partner agency. The remediation or compliance plan will be communicated to the Community Investment Committee for review. A decision will be communicated to the partner agency in writing. The partner agency will have up to 30 days from the receipt of this written notice to agree in writing to immediately commence implementation of the plan.

3. If the partner agency does not comply with the provisions of the plan, fails to submit the appropriate documentation, or is unable to reach the agreed upon outcomes within the established time period under the remediation or compliance plan, the Community Investment Committee may recommend placement of the partner agency on probation until satisfactory progress with implementation of the plan has been achieved.
4. Termination of the partnership shall be considered if the partner agency fails to take positive remedial actions to satisfy the identified problems, deficiencies, or concerns. If the Community Investment Committee recommends termination, the partner agency will be notified in writing and will have 30 days from receipt of the letter to file a written appeal.
5. The Community Investment Committee will review the partner agency's appeal and determine whether to proceed with termination procedures. The committee must submit a recommendation for termination to the United Way Board of Directors prior to their next scheduled meeting. The partner agency will be notified of the Board's decision within five (5) working days.

#### C. UNITED WAY LOGOS AND IDENTIFICATION

Upon termination of the Agreement for any reason, the funded or non-funded partner agency must immediately cease use of all United Way logos and materials that designate the agency as partner with United Way. In light of costs, partner agencies may not be removed from current campaign materials.

#### X. CHARITABLE PURPOSES

Nothing in this agreement should be interpreted to require United Way to distribute funds to a partner agency where it appears, in the reasonable judgment of the United Way Board of Directors, that such funds will not be used for charitable purposes.

#### XI. INDEMNIFICATION

To the extent provided by law, the agency agrees to indemnify and hold harmless United Way from liability of any injuries, damages, omissions, commissions, actions, causes of actions, claims, suits, judgments and damages accruing, including court costs and attorney's fees, as a result of services performed or not performed, or any negligent act by the partner agency, or any action arising out of the agency's agreement with United Way.

#### XII. AMENDMENTS

The policy of United Way is to apply the spirit of this document uniformly to all partner agencies and to consider requests for modification of a specific element's application for a specific partner agency. While there is no intention to make exceptions to the spirit of the policies and procedures outlined in this manual, it is reasonable to anticipate that among the many partner

organizations of varying size, location, program and level of United Way support, a few accommodations may need to be considered.

#### A. CONSIDERATION OF AMENDMENTS

The United Way Board of Directors will consider amending a contract with a partner agency for such accommodations in relation to the following criteria:

1. Uniqueness of circumstance(s).
2. Feasibility of granting the same accommodation to other partner agencies in similar circumstances.
3. Impact of the accommodations on United Way's objectives of maintaining effective community partnerships.

#### B. PROCESS FOR REQUESTING AN AMENDMENT

1. To request consideration of an amendment to any part of a contract with United Way, the partner agency's Chief Professional Officer/Executive Director must make clear the grounds for an exception in a letter addressed to United Way's Executive Director. In this letter specific reasons for why this accommodation is requested, along with anticipated effects on United Way, should be clearly outlined in detail.
2. United Way's Executive Director will review the partner agency's request and formulate a recommendation to be presented to the United Way Board of Directors for final approval. The recommendation may be approval of the request, with or without contingencies, denial of the request, or a suggestion for the partner agency to alter its plan of action not to violate any agreements or contracts with United Way.
3. The United Way Board of Directors' decision will be communicated by United Way's Executive Director in writing to the partner agency's Chief Professional Officer/Executive Director within ten (10) days of the United Way Board of Directors decision.
4. Any partner agency that does not receive approval from the United Way Board of Directors and proceeds with prohibited actions lacking United Way's approval shall be considered in direct violation of its agreement and subject to sanctions for non-compliance as outlined in the Policies & Procedures manual.

### XIII. OTHER STANDARDS

United Way requires adherence to the policies and procedures outlined in each of the following:

#### A. Sarbanes-Oxley Act

The Sarbanes-Oxley Act was signed into law on July 30, 2002 and introduced highly-significant legislative changes to financial practice and corporate governance regulation. It introduced stringent new rules with the stated objective "to protect investors by improving the accuracy and reliability of corporate disclosures made pursuant to the

securities laws." The Act covers corporate governance, financial reporting standards and record keeping and is intended to promote corporate honesty and improve investor confidence in the financial markets. It also introduced a number of regulations that govern the practices of non-profit organizations.

Nonprofit organizations are required to have an independent and competent audit committee, which will hire, set compensation, and oversee the auditing firm's activities. The committee is also responsible for setting the rules and processes for complaints concerning accounting and internal control practices. Included in the Act are also a series of policies governing the issuance of audited financial statements.

The Act makes it a crime to alter, cover up, falsify or destroy any documents (or persuade someone else to do so) to prevent their use in an official proceeding. Intentional document destruction must be turned into a process that is monitored, justified and carefully administered.

The Act also provides protections for whistleblowers and criminal penalties for actions taken in retaliation against whistleblowers.

For more information, visit [www.sarbanes-oxley-forum.com](http://www.sarbanes-oxley-forum.com)

**B. HIPAA**

HIPAA is the acronym for the Health Insurance Portability and Accountability Act of 1996. The Centers for Medicare and Medicaid Services (CMS) is responsible for implementing provisions of HIPAA.

The Administrative Simplification provisions of the Health Insurance Portability and Accountability Act of 1996 (HIPAA, Title II) require the Department of Health and Human Services to establish national standards for electronic health care transactions and national identifiers for providers, health plans, and employers. It also addresses the security and privacy of health data. Adopting these standards improves the efficiency and effectiveness of the nation's health care system by encouraging the widespread use of electronic data interchange in health care.

**C. United States PATRIOT Act**

The Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001 (USA PATRIOT Act, or USAPA) introduced legislative changes which increased the surveillance and investigative powers of law enforcement agencies in the United States. President Bush signed the final bill, the USA PATRIOT Act, into law on October 26, 2001.

## **XIV. COMMUNITY INVESTMENT COMMITTEE**

**A. Duties and responsibilities**

1. To propose admission of partner agencies according to the Partner Agency Requirements in the Community Investment Manual.
2. To propose funding awards to partner agencies based upon an annual review and evaluation of agency programs and their budgets as well as on community needs and resources.
3. Subject all actions to the Executive Committee and/or Board of Directors for approval.

#### **B. Membership**

The Community Investment Committee shall consist of not less than the number of partner-funded agencies plus the chair. Members are identified by the Community Investment Committee and approved by the Executive Committee. Committee members are identified from among United Way of Suwannee Valley donors to ensure all participants maintain a vested interest in the efficient and effective application of community funding available for human services.

#### **C. Functions**

1. To assign annually a liaison member of the committee to each partner funded agency. The committee chair will serve as the liaison to those agencies that are partner non-funded agencies.
2. Liaison members will be responsible for a thorough knowledge of their assigned agencies.
3. The agency will be notified of this assignment and encouraged to keep the liaison informed on activities of the agency, such as by receiving the agency newsletter, notices of functions and any other matters, which the agency deems of interest to the committee.
4. The liaison shall be prepared to report on the assigned agency prior to the agency presentation at the Community Investment Committee agency presentations.
5. Meet annually with each partner funded agency to review programs and their budgets as part of the funding process. Meet with non-funded partner agencies at three (3) year intervals to ensure awareness of agency program services and budget resources as well as appropriateness of continued partnership.

#### **D. Schedule**

All partner agencies requesting funding must submit an application in its entirety on a yearly basis per the below schedule. Non-funded partner agencies must submit documents every third year (2027, 2030, etc).

December 1	Deadline for receipt of applications from new agencies applying for certification for next United Way of Suwannee Valley fiscal year.
March 1	Distribution by United Way of agency funding application materials.
March 31	Deadline for receipt by United Way of agency funding application.
April - May	Community Investment Committee conducts agency programs and budget presentations.
May	Community Investment Committee Chair, or his/her designee, presents the committee recommendations for agency funding to the United Way of Suwannee Valley Executive Committee. Letters notifying the agencies of their tentative funding are sent to agencies.
	The agency has ten (10) days in which to appeal the recommendation of the Community Investment Committee. Appeals are heard by the Executive Committee at its June meeting. The Community Investment Committee will deliver its final recommendation, including any revisions resulting from any agency appeals heard by the Executive Committee to the Board of Directors for the board's decision at its July meeting.
July	The Community Investment Committee Chair, or his/her designee, presents the committee recommendations to the United Way of Suwannee Valley Board of Directors for the board's review and approval
December 31	The first distribution of quarterly funding payments will be made.

#### E. Funding Procedure

1. The Finance Committee will review the funds available for agency funding after deducting administration and fundraising expenses, designations to non-partner agencies and projected shrinkage. The Board of Directors approves the overall United Way budget, including the amount budgeted for agency funding.
2. Partner agencies requesting an funding of funds will submit an application in the format provided by United Way by the stated deadline of each year. Agency submissions must have the formal approval of the agency's governing body and be signed by the board president or chair.
3. All applications that are received past the deadline will automatically receive a 25% reduction from their funding request for that particular submission. This includes applications that do not have all of the components corrected by the due date provided. If the application is submitted further than 24 hours after the due date, it will not be accepted at all.

4. When submitting the application, the Executive Director of the agency is required to sit with a United Way representative to review the application to ensure completeness. Missing items are still required to be submitted on time to avoid the 25% penalty, therefore, for those agencies where the Executive Director is not located in our service area, it is highly recommended that they mail those as early as possible and schedule a call with the United Way representative to review.
5. Agency budgets submitted to United Way will be based on the funding year of July through June.
6. In April and/or May the committee will conduct agency presentations. The submitted budgets are the basis for discussion at these presentations. The executive director and one board member must attend the presentations in person. Officers of the agency, other board members and staff personnel needed to address budget and program questions are expected to represent the agency at these conferences. The committee may permit a virtual presentation due to unforeseeable circumstances. A special and unforeseen request to present virtually may be requested of the committee by an agency.
7. The Community Investment Committee will determine its recommendations for agency funding. The committee reserves the right to waive any sanctions previously stated based on unforeseeable circumstances. These recommendations will be presented to the Executive Committee. Upon Executive Committee approval of the committee's recommendations for funding, each agency will receive a tentative notice of funding.
8. The agency has ten (10) days in which to appeal the decision of the committee. (See above Schedule section.)
9. The agency quarterly financial report will reflect a final budget, approved by the agency's governing body and based on the funding received. Quarterly financial reports are due within the month following each quarter.
10. United Way will make quarterly payments in the amount of one-fourth of the year's funding at the end of each calendar quarter.

## XV. FUNDING PAYMENT POLICIES

<b>Quarter</b>	<b>Reports Due</b>	<b>Quarter</b>	<b>Funding Paid</b>
1st	October 31	1st	December 31
2nd	January 31	2nd	March 31
3rd	April 30	3rd	June 30
4th	July 31	4th	September 30

- A. United Way reserves the right to withhold any payment if the partner agency does not adhere to the policies set forth in this manual or for any other deviation from the Articles of Agreement.
- B. Quarterly Reports are due based on the schedule above. The funding payment will be delayed by the number of days the quarterly report was delayed.
- C. Any funded agency that does not conduct a workplace campaign by November 15<sup>th</sup> and reported to the United Way by December 15<sup>th</sup> will receive a 5% reduction in funding which will be removed from the second quarter funding.
- D. All partner agencies will maintain a current file in the United Way office of the documents required for partnership. These documents include a copy of the current year Florida certificate of registration in accordance with Chapter 496, Florida Statutes regarding the Solicitation of Charitable Funds Act; current list of board members; IRS 990; annual audit, if applicable; and bylaws if amended from those in the agency's United Way file. Note: Agencies with a total annual operating budget less than \$500,000 are exempt from submitting an audit.

## XVI. POLICY ON EARLY RELEASE OF AGENCY FUNDING CHECKS

Should an agency experience a financial crisis or have one identified by United Way, a request for the early release of an agency funding may be expressed.

The process for handling such a request is as follows.

The agency expresses its financial crisis to the United Way office or to its Community Investment Committee liaison. Alternately, the Community Investment Committee liaison may identify the crisis upon review of the agency's quarterly report and resultant communication with the agency.

If the request is received by the United Way office, the agency will be referred to its Community Investment Committee liaison to secure relevant information regarding the nature of the financial crisis and plans to recover from the crisis. The agency's liaison will advise the United Way office of the results of the agency contact such that the request can be documented in an email, which shall be elevated to the Community Investment Committee chair.

The committee chair may elect to discuss the situation with the liaison or with the United Way office staff or may elect to conduct a meeting with the agency to include all parties.

The committee chair, having consulted the liaison, United Way office staff, and, if necessary, agency representatives, will collaborate to make a decision regarding the early release of an agency's quarterly funding. If the decision of the committee chair is favorable, a check to the agency will be released as soon as practical.

This decision will be reported to the Executive Committee or Board of Directors, depending on the meeting schedule, to keep the Executive Committee and Board of Directors apprised of aberrations from the normal and customary distribution of agency funding.

Follow up communications between the agency and the liaison will be conducted to ensure the agency's recovery from its financial crisis.

## XVII. EMERGENCY FUNDING

The United Way Community Investment Committee may maintain a small contingency fund each year, as the United Way budget and agency funding demands allow, for use in meeting acute emergencies.

### A. Policy

It is the policy of United Way that annual funding to funded agencies shall provide the maximum possible amount within the total United Way funds available.

### B. Criteria

Funding from the United Way's contingency fund shall be made in relation to the following criteria and subject to the availability of money in the very limited fund.

1. The item of expense must be unexpected, have been unforeseeable at budget preparation time and so essential that without additional funds from the contingency fund, the agency's program would be seriously impaired.
2. The agency shall demonstrate that funds for this purpose are not available from any other source, including reserves or capital funds of the agency, and that the expenditures cannot be postponed until the next annual budget request has been submitted and acted upon.
3. An agency shall be limited to seeking emergency funding once every three (3) years.

### C. Process

A funded partner agency may apply for funding from the contingency fund in accordance with the following procedures:

1. Submit a letter of request and updated budget information.
2. Indicate the amount needed with a clear and thorough statement of justification.
3. If repairs or replacement of buildings or equipment is involved, the agency will secure and include in the request bids on the work to be done from three reputable firms and indicate which bid it prefers to accept.

4. The Board of Directors or the Executive Committee of the agency will approve the request before it is submitted.
5. The Community Investment Committee will meet, confer and/or meet with the agency and its appropriate staff and/or board members, as it deems necessary and make a recommendation to the United Way Executive Committee within fifteen (15) business days of receipt of the request.
6. The agency will be promptly notified in writing of the Executive Committee's decision.

## XVIII. ATTACHMENTS

- A. Application
- B. Articles of Agreement
- C. Notification of Supplemental Fundraising



### PARTNER AGENCY APPLICATION

Please answer all the questions that are applicable to your organization. If you are unable to answer in the space provided, attach additional sheets. (Type or print in ink.)

1. Name of agency/organization \_\_\_\_\_
2. Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_
3. Agency Phone number \_\_\_\_\_
4. Tax ID/EIN \_\_\_\_\_
5. Date organized in this community \_\_\_\_\_
6. Agency/organization website \_\_\_\_\_
7. Number of employees \_\_\_\_\_
8. All names, other than above, under which the agency solicits contributions.  
\_\_\_\_\_  
\_\_\_\_\_
9. Purpose of agency/organization \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
10. Type of legal entity \_\_\_\_\_  
Where organized \_\_\_\_\_ Date \_\_\_\_\_
11. What is the name of the agency's national organization, if applicable?  
\_\_\_\_\_
12. Has this organization ever been enjoined or prohibited from soliciting contributions in any state, including Florida? Yes \_\_\_\_\_ No \_\_\_\_\_ If answer is Yes, explain fully; \_\_\_\_\_  
\_\_\_\_\_
13. Principal source of revenue for local agency to date \_\_\_\_\_  
\_\_\_\_\_
14. How have local solicitations been made? (i. e. personal contact, direct mail, telephone, etc.)  
\_\_\_\_\_
15. Has this organization used the services of a professional fundraiser?  
Yes \_\_\_\_\_ No \_\_\_\_\_ Name: \_\_\_\_\_
16. Name and address of agency board president \_\_\_\_\_  
Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_ Phone \_\_\_\_\_

17. Name and address of executive director/chief professional officer or person having responsibility for budgeting funds \_\_\_\_\_

Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_ Phone \_\_\_\_\_

18. What actions does the agency take to reach underserved populations?

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19. If the agency requests funding, explain specifically how UW funding will be used (Be specific as to programs, including whether the funding will help add to new services or supplement). Add pages if needed.

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20. Current total annual program budget \_\_\_\_\_

21. What is your target population and geographic area? \_\_\_\_\_

22. List other current funding sources and amounts for your agency below

Source	Amount

**ATTACH:**

One original and 13 completed copies of #1-8 are required, for a total of 14 sets.

**ALL SETS MUST BE** three-hole punched, not stapled, and in order as listed below:

1. Application
2. Most recent year-end balance sheet, compared to the prior year and the difference. Please explain any large variances.
3. Most recent year-end income Profit and Loss statement, compared to the prior year and the difference. Please explain any large variances.
4. If your year-end is more than six months ago, ALSO provide the current income statement and balance sheet.
5. Supporting Schedule 2
6. Dollars/Clients per county
7. Board of Directors Roster

8. Notification of Supplemental Fundraising

**Additionally, submit only one (1) copy of each of the following:**

9. Anti-Terrorism Patriot Act Form
10. Copy of current bylaws
11. Equal Opportunity policy
12. 501 c 3 (not your tax-exempt form)
13. Copy of non-discrimination policy
14. Florida solicitation permit or Exemption
15. Articles of Agreement
16. Copy of last certified public accountant's statement of the agency's financial report-audit and 990 showing no compliance of funding issues.

**CERTIFICATION**

I CERTIFY that the information furnished in this statement and in all continuation sheets attached hereto is true and correct to the best of my/our knowledge.

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Typed name of Board President

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Signature of Board President

DATE: \_\_\_\_\_



## ARTICLES OF AGREEMENT

This agreement, entered into this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, between the United Way of Suwannee Valley, Inc., herein referred to as United Way, and \_\_\_\_\_, herein after referred to as Agency.

It is mutually agreed this Agency has elected and does hereby agree to join with United Way in a collaborative effort of community fundraising for agencies serving Columbia, Hamilton, Lafayette and Suwannee counties through the provision of services addressing health, education, and financial stability. Refer to the Community Investment Manual for a full explanation of all responsibilities outlined in this agreement.

The Agency is an active participant in the annual community fundraising campaign. Agency will cooperate with and give proactive support to United Way and the community fundraising campaign, making available volunteer and professional leadership and other services and information that may be helpful to assure success of the campaign. Agency's full name and logo may appear on any educational and campaign material used in the community fundraising campaign. Agency will, whenever possible, identify itself as a member agency. Agency may not use United Way's donor files to secure names for fundraising purposes; likewise, United Way may not have access to donor files of Agency for fundraising purposes.

The Agency represents it is a nonprofit organization to which contributions are deductible under State and Federal tax laws; maintains a current registration for the period of this Agreement with the office of the Secretary of State in accordance with the provisions of Chapter 496, Florida Statutes, the Solicitation and Charitable Funds Act; has on file a letter stating it is tax exempt under 501(c)(3) IRS Code; is governed by an unpaid Board of Directors with financial and administrative policies which assure adequate internal controls.

A notification of Supplemental Fund Raising should be submitted before plans for the fundraising event are implemented. Normal agency newsletters will be allowed to carry a small paragraph for membership notices to existing members during the United Way campaign period. Fundraising during the United Way campaign period directed by agencies' national office will be excluded from this policy. United Way's interest is to avoid campaigns that would adversely affect everyone's ability to raise funds.

Publicity materials produced locally by the Agency will be consistent with appeals for the United Way.

The Agency agrees to maintain its internal financial and accounting records in accordance with the "Standards of Accounting and Financial Reporting for Voluntary Health and Welfare Agencies." The Agency also agrees to provide a copy of the latest agency audit by a Certified Public Accountant, unless exempt. If exempt, financial reports must be prepared by a qualified accountant.

The Agency shall present its financial information to the United Way on forms prescribed by United Way.

By reference, all provisions outlined in the Policies and Procedures Manual for the United Way of Suwannee Valley Partner Agencies shall be construed to be part of this agreement.

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President - Agency

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President - United Way

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Signature, President - Agency

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Signature, President - United Way

Date \_\_\_\_\_

Date \_\_\_\_\_



### **NOTIFICATION OF SUPPLEMENTAL FUNDRAISING**

Agency Name \_\_\_\_\_

Type of Fundraiser \_\_\_\_\_

Beginning Date \_\_\_\_\_ Ending Date \_\_\_\_\_

Projected Revenue \$ \_\_\_\_\_

Projected Expense \$ \_\_\_\_\_

Net Gain \$ \_\_\_\_\_

Was Revenue from this Fundraiser presented on the agency budget as projected income?

Yes \_\_\_\_\_ No \_\_\_\_\_

If the above answer is no, specify the need for unbudgeted revenue.

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Staff Commitment (number) \_\_\_\_\_

(hours) \_\_\_\_\_

Volunteer Commitment (number) \_\_\_\_\_

(hours) \_\_\_\_\_



## Acknowledgment of Receipt and Review

By signing below, I acknowledge that I have received a copy of the United Way of Suwannee Valley Community Investment Manual and that I have read it, understand it, and agree to comply with it. I understand that the United Way of Suwannee Valley has the maximum discretion permitted by law to interpret, administer, change, modify, or delete the rules, regulations, procedures, and benefits contained in the manual at any time with or without notice. No statement or representation by a supervisor, manager, or any other employee, whether oral or written, can supplement or modify this manual. Changes can only be made if approved in writing by the United Way Board of Directors and/or Executive Committee. I also understand that any delay or failure by the United Way of Suwannee Valley to enforce any rule, regulation, or procedure contained in the manual does not constitute a waiver on behalf of the United Way or affect the right of the United Way to enforce such rule, regulation, or procedure in the future.

This manual supersedes any previous manual or policy statements, whether written or oral, issued by United Way of Suwannee Valley.

If I have any questions about the content or interpretation of this handbook, I will contact the Executive Director.

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Signature

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Title

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Print Name

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Date